*(On letterhead of corporate)*

**Annexure VI**

**Shareholding pattern and details of directors as on \_\_\_\_\_\_\_\_\_\_(Corporate)**

**A:** **Details of Shareholding Pattern & promoter/non promoter group of Corporates**

Share Holding Pattern of \_\_\_\_\_ (Name of the Entity) as on \_\_\_\_\_\_\_\_\_ (Date)

Total Equity Share capital : Rs.\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (In figures), Rs.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (In words).

Total Paid up Equity Share capital : Rs.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (In figures), Rs.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (In words).

Face value of each equity share (or any other instrument): Rs. \_\_\_\_ (In figures) Rs. \_\_\_\_\_\_\_\_ (In words)

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PART I –PROMOTER GROUP** | | | | | | | | | | |
| **Sr No.** | **Name of promoter 1** | | **Under what capacity 2** | **Residential address (with Pin code) & Contact No** | **No. of shares held** | **Face value per share (Rs.)** | **Total Amt paid up** | **% shareholding** | **Pan Card No.** | **CIN NO (In case of corporates)** |
| 1 | **A** | |  |  |  |  |  |  |  |  |
| 2 | **B** | |  |  |  |  |  |  |  |  |
| 3 | **C** | |  |  |  |  |  |  |  |  |
|  | |  | **TOTAL PROMOTER GROUP HOLDING (A)** | | | | | | | |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **PART II – NON PROMOTER GROUP** | | | | | | | |
| **Sr**  **No.** | **Name of the non promoter** | **No. of shares held** | **Face value per share (Rs.)** | **Total Amt paid up** | **% shareholding** | **Pan Card No.** | **CIN NO (In case of corporates)** |
| 4 |  |  |  |  |  |  |  |
| 5 |  |  |  |  |  |  |  |
| 6 | **OTHERS** |  |  |  |  |  |  |
| **TOTAL NON PROMOTER GROUP HOLDING (B)** | | | |  |  |  |  |
| **GRAND TOTAL (A) + (B)** | |  |  |  | **100%** |  |  |

**1** Promoter as defined under SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2018 for Listed companies and as per Section 69 of companies Act 2013 for unlisted companies. Persons having controlling interest in terms of SEBI (Stock broker) Regulations 1992 shall also form part of the Promoter/Promoter Group.

2 as defined in **SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2018** for Listed companies and as per Section 69 of companies Act 2013 for unlisted companies and/or having controlling interest in terms of SEBI (Stock broker) Regulations 1992 and Persons Acting in concert as defined under 2 (q) of Chapter I of SEBI (SAST) Regulations, 2011.

**NOTES:**

1. In case of all body corporate in the promoter group of the applicant entity, the details of their shareholding shall also be furnished in the same format as given above
2. In case of HUF, give names of Karta and co-parceners.
3. Persons holding less than 2% of the paid-up capital (not covered in the definition of promoter) may be clubbed and shown as ‘others’ under Non promoter group
4. Persons Acting in concert should be included in the list of promoters and should be mentioned as ‘PAC’ under the head’ Under what capacity’
5. All initials to be expanded (full name to be indicated)

**Date:**

**Place:**

**Signature of Compliance Officer / Designated Director**

**Name of Person Signing**

**CERTIFICATE**

This is to certify that the details of shareholding pattern and promoter group of M/s \_\_\_\_\_\_\_\_\_\_\_\_\_\_**(Name of applicant)** as given in above Annexure, based on my/ our scrutiny of the books of accounts, records and documents are true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

**Place: For (Name of Certifying Firm)**

**Date: Name of Partner/Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**UDIN**

(Signature under Rubber stamp of Firm)

**B.** **Details of the Directors as on** \_

| **Sr.** | **Particulars** | **1** | **2** | **3** |
| --- | --- | --- | --- | --- |
|  | Name | First Name:  Middle Name:  Surname: | First Name:  Middle Name:  Surname: | First Name:  Middle Name:  Surname: |
|  | Father Name |  |  |  |
|  | Designated Director *(minimum two)* | Yes / No\* | Yes / No\* | Yes / No\* |
|  | Citizenship Details |  |  |  |
|  | Passport No.  (in case of Foreign Individuals) | Place of Issue:  Valid till: | Place of Issue:  Valid till: | Place of Issue:  Valid till: |
|  | Date of Birth |  |  |  |
|  | Date of Appointment as Designated Director |  |  |  |
|  | PAN |  |  |  |
|  | Aadhaar No. (Optional) |  |  |  |
|  | DIN No |  |  |  |
|  | Qualification of Director (*minimum HSC)$* |  |  |  |
|  | Experience\*\* (in years)  *(add annexures if multiple)* | Name of Organisation:  Designation:  Field / Activity:  From:  To: | Name of Organisation:  Designation:  Field / Activity:  From:  To: | Name of Organisation:  Designation:  Field / Activity:  From:  To: |
|  | Residence Address  City:  District  State / Union Territory:  Pin code:  Tel No(s):  Fax No(s): |  |  |  |
|  | Mobile No.: |  |  |  |
|  | Email ID: |  |  |  |
|  | Equity Shareholding in applicant Entity   1. Shares 2. Amount 3. % of Total |  |  |  |
|  | Whether Director is disqualified under section 164 of Companies Act, 2013? *If yes, provide details of action u/s 167 of Companies Act, 2013* | Yes / No | Yes / No | Yes / No |

**Date:**

**Place: Signature of Compliance Officer / Designated Director**

**Name of Person Signing**

**Certificate**

This is to certify that the details of Directors/partners (as applicable) and their shareholding/sharing pattern (as applicable) in \_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name of applicant entity) and the details of their Directorships / controlling interest in other companies / entities, as provided by \_\_\_\_\_\_\_\_ (name of applicant entity), based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

Further, based on the information, explanation and documents given to us, we state that the designated partners as mentioned above meet the eligibility requirements as prescribed in Securities Contracts (Regulation) Rules, 1957 (rule 8(4A) and other relevant provisions) and SEBI (Stock Brokers) Regulations, 1992.

**Place: For (Name of Certifying Firm)**

**Date: Name of Partner/Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**UDIN**

(Signature under Rubber stamp of Firm)

**Notes:**

1. \*If the aforesaid declaration exceeds in more than one page, please take the signature of designated director and practicing CA on all the pages.
2. \*\*No. of years in capital market is minimum 2 years for Designated Director.
3. $ For Designated Director, the qualification should be minimum HSC. Further, if there is a mismatch of name on the educational certificate as compared to PAN, then kindly provide affidavit. In case of name change, then kindly provide copy of gazette.

*(On letterhead of* *Chartered Accountant)*

Draft Format of Certificate from Chartered Accountant on settlement of funds & securities to the clients

**Settlement of Clients Funds:-**

All the trading accounts with respect to Client funds are settled and there are no payables/liabilities to the clients.

*Note: Incase there are any funds which the Member is unable to settle then CA may add a note as below*

*We have verified that Member has taken all necessary steps/efforts for the transfer, however, due to the reasons stated below, these funds are not settled*

|  |  |  |  |
| --- | --- | --- | --- |
| ***Client Code*** | ***Client Name*** | ***Balance Amount*** | ***Reasons*** |
|  |  |  |  |
|  |  |  |  |

**Settlement of Clients Securities: -**

All the trading accounts with respect to client securities are settled and there are no securities that needs to be transferred/payable to clients.

*Note: In case there are any securities which the Member is unable to settle then CA may add a note as below*

*We have verified that Member has taken all necessary steps to transfer below mentioned securities, however, due to the reasons stated below these securities are not settled. Further, the details of securities that are not settled due to any reason are also given below:*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Member’s Demat Ac*** | ***UCC*** | ***Own/Client Securities*** | ***Client Name*** | ***Scrip Name*** | ***Client PAN*** | ***Quantity*** | ***ISIN*** | ***Reason\**** |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |

*If the reasons mentioned above stand resolved in future, the Member has undertaken to take the necessary steps for transferring/settling the securities to the respective clients and has undertaken to abide by the SEBI/Exchange Rules/Regulations/Guidelines/Circulars as applicable.*

**Place: For (Name of Certifying Firm)**

**Date: Name of Partner/Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**UDIN**

(Signature under Rubber stamp of Firm)